

021104
16569 U.S. PTOPlease type a plus sign (+) inside this box → PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	Y0R919990064US2 (8728-258C)
First Inventor	Louis R. Degenaro
Title	SYSTEM AND METHOD FOR MANAGING
Express Mail Label No.	EV 413371010US

APPLICATION ELEMENTS	ADDRESS TO:
See MPEP chapter 600 concerning utility patent application contents.	

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages 53]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. Drawing(s) (35 U.S.C. 113) [Total Sheets 6]

5. Oath or Declaration [Total Pages 2]

- a. Newly executed (original or copy)
- b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. See 37 CFR 1.76

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS		
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	10. <input type="checkbox"/> 37 CFR 3.73(b) Statement	<input type="checkbox"/> Power of Attorney (when there is an assignee)
11. <input type="checkbox"/> English Translation Document (if applicable)	12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
13. <input checked="" type="checkbox"/> Preliminary Amendment	14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	17. <input type="checkbox"/> Other:	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-In-part (CIP)

of prior application No. 09, 298,046

Prior application information: Examiner, Choi, Woo H.

Group Art Unit: 2186

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)		or	<input type="checkbox"/> Correspondence address below
--	---	--	----	---

Name				
Address	F. CHAU & ASSOCIATES, LLC 1900 Hempstead Turnpike, Suite 501			
City	East Meadow	State	New York	Zip Code 11554
Country	U.S.A	Telephone	(516) 357-0091	Fax (516) 357-0092

Name (Print/Type)	Frank V. DeRosa	Registration No. (Attorney/Agent)	43,584
Signature			Date 2/11/04

19270 U.S. PTO
10/776909

021104

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FEE TRANSMITTAL

for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 1,274.00)

Complete if Known

Application Number	
Filing Date	February 11, 2004
First Named Inventor	Louis R. Degenaro
Examiner Name	
Art Unit	
Attorney Docket No.	YOR919990064US2 (8728-258CON)

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number	50-0510
Deposit Account Name	IBM - YORKTOWN HEIGHTS

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	770.00
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)		(\$ 770.00)	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Fee from below	Fee Paid
Total Claims	48	-20** = 28 x 18 = 504	
Independent Claims	3	-3** = 0 x 86 = 0	
Multiple Dependent		290 =	

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$ 504.00)

*or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

(Complete if applicable)

SUBMITTED BY	
Name (Print/Type)	Frank V. DeRosa
Signature	

WARNING: Information in this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PATENT

Atty. Docket No. YOR919990064US2 (8728-258CON)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

APPLICATION FEE TRANSMITTAL

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Louis R. Degenaro, Arun K. Iyengar,
Isabelle M. Rouvellou

For: SYSTEM AND METHOD FOR MANAGING CACHABLE ENTITIES

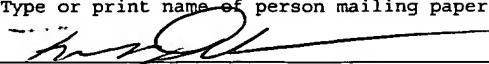
This application is a:

New Application
 Continuation
 Continuation-In-Part (CIP)
 Divisional

of co-pending U.S. application Serial No. 09/298,046
filed on April 22, 1999.

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this Application transmittal and the documents referred to as enclosed are being deposited with the United States Postal Service on this date February 11, 2004 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV413371010US addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

Frank V. DeRosa
(Type or print name of person mailing paper)

(Signature of person mailing paper)

Enclosed are:

[X] 39 page(s) of specification

[X] 1 page(s) of Abstract

[X] 13 page(s) of claims

[X] 6 sheets of drawings [X] formal [] informal

[X] 2 page(s) of Declaration and Power of Attorney
(copy as filed in co-pending application no.
09/298,046, filed April 22, 1999).

[] An Assignment of the invention to:

[] This application claims the benefit under 35 U.S.C.
§119(e) of U.S. Provisional Application(s) No(s) .:

APPLICATION NO(S) .:

FILING DATE

[] Priority under Title 35 United States Code, § 119 is
claimed from:

Country

Appln. No.

Filed

[] Certified copy of which:

[] is enclosed

[] will follow.

Additional papers enclosed:

Preliminary Amendment

The fees to be charged are to be based on the number of claims remaining as a result of the attached Preliminary Amendment.

Information Disclosure Statement.

Form PTO-1449

Other

Fee Calculation (37 C.F.R. §1.16)

<u>For</u>	<u>Number Filed</u>	<u>Number Extra</u>	<u>Rate</u>	<u>Basic Fee</u>
Total				\$ 770.00
Claims*	48 -20 = 28		x \$ 18.00	\$ 504.00
Independent				
Claims	3 -3 = 0		x \$ 86.00	\$.00
Multiple	[] yes	Add'l. Fee	\$290.00	\$
Dependent				
Claims	[X] no	Add'l. Fee	None	= \$
				<u>TOTAL \$1,274.00</u>

Applicant Claims Small Entity Status Under 37 C.F.R. § 1.27. Reduced fees under 37 C.F.R. § 1.9(f) (50% of total) paid herewith \$.00.

A check in the amount of \$.00 is enclosed for recording the attached Assignment.

A check in the amount of \$.00 to cover the filing fee is attached.

Charge fee to Deposit Account No. 50-0510/IBM (Yorktown Heights) TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.

* Includes all independent and single dependent claims and all claims referred to in multiple claims. See 37 C.F.R. § 1.75(c).

[X] Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. § 1.16 and/or 1.17 at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account No. 50-0510/IBM. Also, in the event any extensions of time for responding are required for the pending application(s), please treat this paper as a petition to extend the time as required and charge Deposit Account No. 50-0510/IBM therefor. **TWO (2) COPIES OF THIS SHEET ARE ENCLOSED**

Relate Back - 35 U.S.C. § 120

[] Amend the specification by inserting after the Title the sentence:

--This is a [X] continuation [] continuation-in-part
[] divisional of copending application Serial No.
____ filed on _____, the disclosure of which
in its entirety is incorporated-by-reference herein.--

[X] An Assignment of the invention to:

International Business Machines Corporation
(recorded on April 22, 1999 at Reel/Frame: 9914/0233
in co-pending application no. 09/298,046, filed
April 22, 1999).

Date:

2/11/04

SIGNATURE OF ATTORNEY
Frank V. DeRosa
Reg. No. 43,584

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